

PATENT APPLICATION
Docket No: 15249.1.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)
Igor Best-Devereux.)
Serial No. 10/029,464)
Filed: December 20, 2001)
For: SYSTEMS AND METHODS FOR NEGOTIATING)
REINSURANCE FOR A RISK)

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INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR § 1.97

Assistant Commissioner for Patents
Washington, DC 20231

Dear Sir:

Please find, pursuant to 37 CFR § 1.98(a)(1), enclosed Form PTO-1449 that contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 CFR § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 37 CFR §§ 102 or 103, the enclosed list of references is disclosed to fully comply with the duty of disclosure set forth in 37 CFR § 1.56.

Pursuant to 37 CFR § 1.97(g) and (h), Applicant makes no representation that a search has been made or that the information cited is considered to be material to patentability. Additionally, Applicant makes no representation regarding the completeness of this list nor represents that other art does not exist.

In accordance with 37 CFR §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

DATED this 20 day of March 2002.

Respectfully submitted,

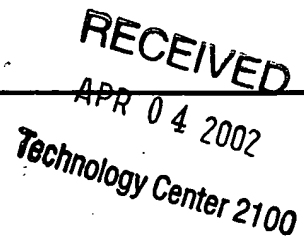
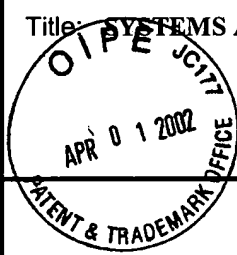
A handwritten signature in black ink, appearing to read "John C. Stringham", with a long horizontal flourish extending to the right.

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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT (Under 37 CFR 1.97(b) or 1.97(c))			Docket No. 15249.1.2
In Re Application Of: Igor Best-Devereux			
Serial No. 10/029,464	Filing Date 12/20/01	Examiner Not Yet Assigned	Group Art Unit 2166
Title: SYSTEMS AND METHODS FOR NEGOTIATING REINSURANCE FOR A RISK			
<p>Address to: Assistant Commissioner for Patents Washington, D.C. 20231</p> <p>37 CFR 1.97(b)</p> <p>1. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.</p> <p>37 CFR 1.97(c)</p> <p>2. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:</p> <p><input type="checkbox"/> the statement specified in 37 CFR 1.97(e);</p> <p>OR</p> <p><input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).</p>			



TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
15249.1.2

In Re Application: **Igor Best-Devereux**

Serial No.
10/029,464

Filing Date
12/20/01

Examiner
Not Yet Assigned

Group Art Unit
2166

SYSTEMS AND METHODS FOR NEGOTIATING REINSURANCE FOR A RISK

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below. A duplicate copy of this sheet is enclosed.
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I certify that this document and fee is being deposited March 20, 2002 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

John C. Stringham
Signature of Person Mailing Correspondence

John C. Stringham

Typed or Printed Name of Person Mailing Certificate

*This certificate may only be used if paying by deposit account.

John C. Stringham
Signature

JOHN C. STRINGHAM, Reg. No. 40,831

Dated: March 20, 2002



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PATENT TRADEMARK OFFICE

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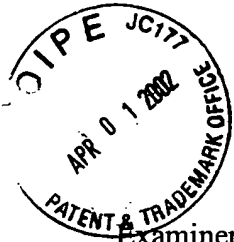
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For: SYSTEMS AND METHODS FOR NEGOTIATING REINSURANCE FOR A RISK

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

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Technology Center 2100

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
____A1	6,119,093	09/12/00	Walker et al.	705	4	7/01/97
____A2	6,112,189	08/29/00	Rickard et al.	705	37	03/19/97
____A3	6,067,531	05/23/00	Hoyt et al.	705	35	07/21/98
____A4	6,067,528	05/23/00	Breed et al.	705	26	06/19/97
____A5	6,064,981	05/16/00	Barni et al.	705	26	06/17/99
____A6	6,061,665	05/09/00	Bahreman	705	40	06/06/97
____A7	6,058,379	05/02/00	Odom et al.	705	37	07/11/97
____A8	6,055,519	04/25/00	Kennedy et al.	705	80	10/11/97
____A9	6,049,773	04/11/00	McCormack et al.	705	4	10/14/97
____A10	5,991,740	11/23/99	Messer	705	27	06/10/97
____A11	5,970,479	10/19/99	Shepherd	705	37	05/28/93
____A12	5,963,923	10/05/99	Garber	705	37	06/03/97
____A13	5,956,687	09/21/99	Wamsley et al.	705	1	04/04/97
____A14	5,924,082	07/13/99	Silverman et al.	705	37	06/07/95
____A15	5,873,066	02/16/99	Underwood et al.	705	4	02/10/97
____A16	5,806,042	09/08/98	Kelly et al.	705	4	10/11/95

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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_____A17	5,794,212	08/11/98	Mistr, Jr.	705	26	04/10/96
_____A18	5,794,210	08/11/98	Goldhaber et al.	705	14	12/11/95
_____A19	5,740,045	12/30/97	King et al.	395	235	01/09/95
_____A20	5,495,412	02/27/96	Thiessen	364	401	07/15/94
_____A21	5,305,200	04/19/94	Hartheimer et al.	364	408	11/02/90
_____A22	5,253,165	10/12/93	Leiseca et al.	364	407	12/12/90
_____A23	5,168,446	12/01/92	Wiseman	364	408	05/23/89
_____A24	4,831,526	05/16/89	Luchs et al.	364	401	04/22/86

Foreign Patent Documents

Examiner Initial*	Document Number	Publ. Date	Country or Patent Office	Class	Sub Class	Trans- lation
_____B	NONE					

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Other Documents

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- _____ C1 Kerridge et al., "Virtual Tendering and Bidding in the Construction Sector," Electronic Commerce and Web Technologies, First International Conference, EC-Web 2000, London, United Kingdom, September 4-6, 2000, Proceedings pp. 379-388.
- _____ C2 Maxwell, "Web Re," Canadian Insurance, Vol. 105, No. 8, July 2000, pp. 16-19.
- _____ C3 Connolly, "Reinsurers See B2B Web Opportunities," National Underwriter, Vol. 104, No. 17, April 24, 2000, pp. 8, 11.
- _____ C4 Barbuceanu et al., "A Multi-Attribute Utility Theoretic Negotiation Architecture for Electronic Commerce," Proceedings of the Fourth International Conference on Autonomous Agents, Barcelona, Catalonia, Spain, June 3-7, 2000, pp. 239-246.
- _____ C5 Pitt et al., "Protocols and Intentional Specifications of Multi-Party Agent Conversations for Brokerage and Auctions," Proceedings of the Fourth International Conference on Autonomous Agents, Barcelona, Catalonia, Spain, June 3-7, 2000, pp. 269-275.
- _____ C6 Ouimette, "Making a Market," Best's Review, Vol. 100, No. 12, April 2000, pp. 148-150.
- _____ C7 MacSweeney, "Reinsurance Goes Virtual at General Life," Insurance and Technology, Vol. 24, No. 13, December 1999, p. 19.
- _____ C8 Jonker et al., "A Multi-agent Architecture for an Intelligent Website in Insurance," Cooperative Information Agents III, Third International Workshop, CIA '99, Uppsala Sweden, July 31-August 2, 1999, Proceedings, pp. 86-100.

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- _____ C9 Benn et al., "Enabling Interactive Negotiations by Adaptive Software Agents," Cooperative Information Agents III, Third International Workshop, CIA '99, Uppsala Sweden, July 31-August 2, 1999, Proceedings, pp. 337-346.
- _____ C10 Goveia, "Re-Commerce," Canadian Insurance, Vol. 104, No. 8, July 1999, pp. 20-23.
- _____ C11 Gjersten, "Exploring New Distribution Systems," National Underwriter (Property & Casualty/Risk & Benefits Management), Vol. 102, No. 48, November 30, 1998, pp. 15-16.
- _____ C12 Mullen et al., "The Auction Manager: Market Middleware for Large-Scale Electronic Commerce," Third USENIX Workshop on Electronic Commerce Proceedings, Boston, Massachusetts, August 31-September 3, 1998, pp. 37-47.
- _____ C13 Kumar et al., "Internet Auctions," Third USENIX Workshop on Electronic Commerce Proceedings, Boston, Massachusetts, August 31-September 3, 1998, pp. 49-60.
- _____ C14 Schwartz, "Build a Network And They Will Come," Insurance and Technology, Vol. 23, No. 9, September 1998, p. 10.
- _____ C15 Schwartz, "Virtually Amazing!," Insurance and Technology, Vol. 23, No. 9, September 1998, pp. 21-23.
- _____ C16 Sandholm, "Agents in Electronic Commerce: Component Technologies for Automated Negotiation and Coalition Formation," Cooperative Information Agents II, Learning, Mobility and Electronic Commerce for Information Discovery on the Internet, Second International Workshop, CIA'98, Paris, France, July 4-7, 1998, Proceedings, pp.113-134.

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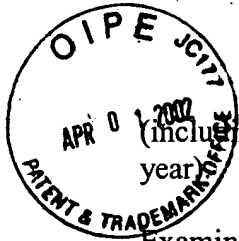
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- _____ C17 Tauhert, "Web-Based System Allows Risk Hedge," Insurance and Technology, Vol. 23, No. 3, March 1998, p. 28.
- _____ C18 Chavez et al, "Challenger: A Multi-agent System for Distributed Resource Allocation," Proceedings of the First International Conference on Autonomous Agents, Marina del Ray, California, February 5-8, 1997, pp.323-331.
- _____ C19 Bahreman et al, "Payment Method and Negotiation Service Framework and Programming Specification," Proceedings of the Second USENIX Workshop on Electronic Commerce, November 18-21, 1996, Oakland, California, pp. 299-314.
- _____ C20 Eriksson et al., "Information and Interaction in MarketSpace – towards an open agent-based market infrastructure," Proceedings of the Second USENIX Workshop on Electronic Commerce, November 18-21, 1996, Oakland, California, pp. 271-277.
- _____ C21 About CATEX, <http://info.catex.com>, date unknown.

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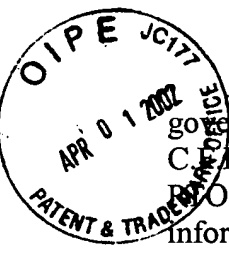
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References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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